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1c978 U.S. PTO  
09/917120



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Scott Fergusson

Serial No.: Unknown

Filing Date: July 27, 2001

For: METHODS AND SYSTEMS FOR ASSISTING FINANCIAL SERVICES FIRMS AND  
THEIR REPRESENTATIVES

Docket No.: 1137.1101101

**TRANSMITTAL SHEET**

**BOX PATENT APPLICATION**

The Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATE UNDER 37 C.F.R. 1.10:** The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of : EL837558032US, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231 on this 27th day of July, 2001.

By

*Jolene Alger*  
Jolene Alger

We are transmitting herewith the attached Patent Application including the following:

- ☒ 36 sheets of specification.
- ☒ 47 claims.
- ☒ 1 sheet of Abstract.
- ☒ 28 sheets of formal drawings.
- ☒ Executed Declaration and Power of Attorney.
- ☒ The Applicant hereby claims small entity status under 37 C.F.R. 1.9 and/or 1.27.
- ☐ An Assignment of the invention to \_\_\_\_\_ is being filed contemporaneous with this patent application.
- ☐ A certified copy of a \_\_\_\_\_ application, serial no. \_\_\_\_\_, filed \_\_\_\_\_, 19\_\_\_\_, the right of priority of which is claimed under 35 U.S.C. 119.

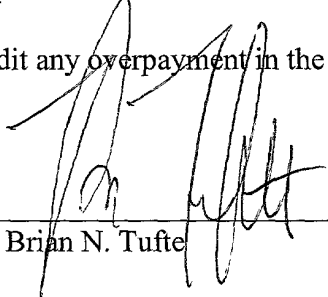
CLAIMS AS FILED						
	(1)	(2)	SMALL ENTITY		OTHER	
FOR:	# FILED	# EXTRA	Rate	Fee	Rate	Fee
BASIC FEE				\$355		\$710
TOTAL CLAIMS	47-20 =	27	x9=	\$243	x18=	\$
INDEPENDENT CLAIMS	9-3 =	6	X40=	\$240	X80=	\$240
( ) MULTIPLE DEPENDENT CLAIM PRESENTED			+130=	\$0	+260=	\$
TOTAL			\$838.00		\$	

\*If the difference in Column (1) is less than zero, enter "0" in Column 2.

[ ] Other \_\_\_\_\_.

[ X ] A check in the amount of \$ 838.00 is enclosed.

[XXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By:   
 Brian N. Tufte  
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